

**FINAL ORDER – THIS PRELIMINARY DETERMINATION BECAME THE FINAL ORDER OF THE COMMISSION AS TO CLAIMANT #2 ON OCTOBER 15, 2021 PURSUANT TO RULE 21F-10(f) OF THE SECURITIES EXCHANGE ACT OF 1934**

Notice of Covered Action [REDACTED]

[REDACTED]

**PRELIMINARY DETERMINATIONS OF THE CLAIMS REVIEW STAFF**

In response to the above-referenced Notice of Covered Action, the Securities and Exchange Commission received three whistleblower award claims.<sup>1</sup> Pursuant to Section 21F of the Securities Exchange Act of 1934 (the “Exchange Act”) and Rule 21F-10 promulgated thereunder, the Claims Review Staff has evaluated each of these claims in accordance with the criteria set forth in Rules 21F-1 through 21F-18. The Claims Review Staff sets forth its Preliminary Determination for each award claimant as follows:

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

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[REDACTED]

Page 2

[REDACTED]

[REDACTED] (“Claimant 2”)

The Claims Review Staff has preliminarily determined to recommend that the Commission deny an award to Claimant 2. Claimant 2 did not provide information that led to the successful enforcement of the Covered Action within the meaning of Section 21F(b)(1) of the Exchange Act and Rules 21F-3(a)(3) and 21F-4(c) thereunder because the information Claimant 2 provided did not: (1) cause the Commission to (i) commence an examination, (ii) open or reopen an investigation, or (iii) inquire into different conduct as part of a current Commission examination or investigation under Rule 21F-4(c)(1); or (2) significantly contribute to the success of a Commission judicial or administrative enforcement action under Rule 21F-4(c)(2).

In reaching this preliminary determination, we note that the record reflects that Claimant 2’s provided information to the Commission approximately a year after Enforcement staff had opened the investigation and had already conducted significant investigative steps. The information provided by Claimant 2 was already known by the Covered Action staff, repeated publicly-reported information, and did not materially add to the information already known by

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Page 3

the Covered Action staff. As a result, Claimant 2 did not provide the Covered Action staff with any original information that significantly contributed to the [REDACTED] action.

By: Claims Review Staff

Date: August 16, 2021